

1636

PTO/SB/21 (08-03)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/081,969
Filing Date	February 22, 2002
First Named Inventor	Cheng Cheng
Art Unit	1636
Examiner Name	Maria Marvich
Attorney Docket Number	GTI 004.3 US

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Copy of Notice of Recordation of Assignment Docs; Copy of Assignment recently filed; Statement
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Linda R. Judge, Registration No. 42,702
Signature	
Date	2/5/04

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Maria Chuakay		
Signature		Date	2/5/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/081,969
Filing Date	February 22, 2002
First Named Inventor	Cheng Cheng
Art Unit	1636
Examiner Name	Maria Marvich
Attorney Docket Number	GTI 004.3 US

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: **30539 and 24353**

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with  
Customer Number:

**24353**

OR

☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Name Robert H. Tidwell, Senior Vice President

Signature *Robert H. Tidwell*

Date **2-5-04**

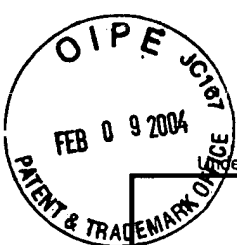
Telephone (650) 266-3053

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 3 forms are submitted..

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Cheng Cheng, et al.Application No./Patent No.: 10/081,969 Filed/Issue Date: February 22, 2002Entitled: Novel Oncolytic Adenoviral VectorsCell Genesys, Inc., a Delaware

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.**OR**B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:1. From: Cheng Cheng, et al. To: Novartis AGThe document was recorded in the United States Patent and Trademark Office at  
Reel 013421, Frame 0035, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1-30-04

Date

(650) 266-3053

Telephone number

Robert H. Tidwell

Typed or printed name

Robert H. Tidwell

Signature

Senior Vice President

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Date Mailed: **November 25, 2003** | Atty/Sec: **LRJ/mc** | Filing Date: **Please see attached.**  
Application No.: **Please see attached.** | Docket No.: **GTI-General**  
Applicant(s): **Please see attached.**  
Title: **PLEASE SEE ATTACHED.**

Please imprint Patent Office "date stamp" hereon to indicate receipt and return card to addressee.

- |                                                                        |                                                                                  |
|------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| <input type="checkbox"/> ___ pages of Specification, Claims & Abstract | <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). |
| <input type="checkbox"/> ___ sheets of formal drawings                 | <input type="checkbox"/> Response to Notice Of Missing Parts                     |
| <input type="checkbox"/> Provisional Application Cover Sheet           | <input type="checkbox"/> Request to Correct Filing Receipt                       |
| <input type="checkbox"/> New Utility Application Transmittal           | <input type="checkbox"/> Request for Correction of Recorded Assignment           |
| <input type="checkbox"/> Transmittal                                   | <input type="checkbox"/> IDS, PTO-1449, and cited references                     |
| <input type="checkbox"/> Fee Transmittal (in duplicate)                | <input type="checkbox"/> Issue Fee Transmittal                                   |
| <input type="checkbox"/> Declaration (unsigned)                        | <input type="checkbox"/> Formal Drawings: ___ sheets                             |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet          | <input type="checkbox"/> Request for Certificate of Correction                   |
| <input type="checkbox"/> CPA Request Transmittal                       | <input type="checkbox"/> Notice of Appeal                                        |
| <input type="checkbox"/> Application Data Sheet                        | <input type="checkbox"/> Express Mail No.:                                       |
| <input type="checkbox"/> Check in the amount of \$                     |                                                                                  |
| <input type="checkbox"/> Amendment/Response                            |                                                                                  |

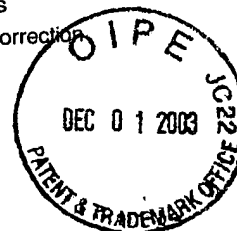
Other: **PTO-1595, Assignments, Postcard and Exhibit A**

Date Mailed: **November 25, 2003** | Atty/Sec: **LRJ/mc** | Filing Date: **Please see attached.**  
Application No.: **Please see attached.** | Docket No.: **GTI-General**  
Applicant(s): **Please see attached.**  
Title: **PLEASE SEE ATTACHED.**

Please imprint Patent Office "date stamp" hereon to indicate receipt and return card to addressee.

- |                                                                        |                                                                                  |
|------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| <input type="checkbox"/> ___ pages of Specification, Claims & Abstract | <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). |
| <input type="checkbox"/> ___ sheets of formal drawings                 | <input type="checkbox"/> Response to Notice Of Missing Parts                     |
| <input type="checkbox"/> Provisional Application Cover Sheet           | <input type="checkbox"/> Request to Correct Filing Receipt                       |
| <input type="checkbox"/> New Utility Application Transmittal           | <input type="checkbox"/> Request for Correction of Recorded Assignment           |
| <input type="checkbox"/> Transmittal                                   | <input type="checkbox"/> IDS, PTO-1449, and cited references                     |
| <input type="checkbox"/> Fee Transmittal (in duplicate)                | <input type="checkbox"/> Issue Fee Transmittal                                   |
| <input type="checkbox"/> Declaration (unsigned)                        | <input type="checkbox"/> Formal Drawings: ___ sheets                             |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet          | <input type="checkbox"/> Request for Certificate of Correction                   |
| <input type="checkbox"/> CPA Request Transmittal                       | <input type="checkbox"/> Notice of Appeal                                        |
| <input type="checkbox"/> Application Data Sheet                        | <input type="checkbox"/> Express Mail No.:                                       |
| <input type="checkbox"/> Check in the amount of \$                     |                                                                                  |
| <input type="checkbox"/> Amendment/Response                            |                                                                                  |

Other: **PTO-1595, Assignments, Postcard and Exhibit A**





Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

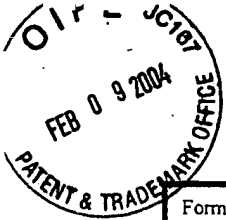
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	Please See Attached	
	Filing Date	Please See Attached	
	First Named Inventor	Please See Attached	
	Art Unit	Please See Attached	
	Examiner Name	Please See Attached	
Total Number of Pages in This Submission	27	Attorney Docket Number	GTI - General

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO-1595, Assignments, Postcard and Exhibit A
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm or Individual name	Linda R. Judge, Registration No. 42,702 Cell Genesys, Inc.	
Signature		
Date	11/28/03	

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Typed or printed name	Maria Chuakay	
Signature		Date 11/25/03

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Form PTO-1595  
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼ ▼ ▼

RECORDATION FORM COVER SHEET  
**PATENTS ONLY**

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Genetic Therapy, Inc.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other \_\_\_\_\_

Execution Date: 10/1-2/03

2. Name and address of receiving party(ies)

Name: Cell Genesys, Inc.

Internal Address: \_\_\_\_\_

Street Address: 500 Forbes Blvd.

City: SSF State: CA Zip: 94080

Additional name(s) & address(es) attached? ☐ Yes ☐ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: N/A

A. Patent Application No.(s) See attached

B. Patent No.(s) See attached

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cell Genesys, Inc.

Internal Address: Intellectual Property

Street Address: 500 Forbes Blvd.

City: SSF State: CA Zip: 94080

6. Total number of applications and patents involved: 15

7. Total fee (37 CFR 3.41).....\$ 600.00



Enclosed



Authorized to be charged to deposit account

8. Deposit account number:

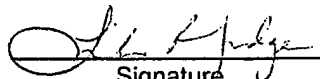
031184

DO NOT USE THIS SPACE

9. Signature.

Linda R. Judge, Esq., Reg. No. 42,702

Name of Person Signing

  
Signature

11/25/03

Date

Total number of pages including cover sheet, attachments, and documents: 27

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231



EXHIBIT A  
ASSIGNED APPLICATIONS/PATENTS

DOCKET NUMBER	SERIAL/PATENT NUMBER	FILING/ISSUE DATE	STATUS
GTI 002.0US	08/348,258	11/28/1994	ABANDONED
GTI 002.1US	08/487,992	06/07/1995	ABANDONED
GTI 002.2US	5,998,205	12/07/1999	ISSUED
GTI 002.3US	6,551,587	04/22/2003	ISSUED
GTI 002.4US	10/323,425	12/19/2002	PENDING
GTI 002.5US	10/323,955	12/19/2002	PENDING
GTI 002.6US	10/323,984	12/19/2002	PENDING
GTI 003.0US	08/974,391	11/19/1997	ISSUED
GTI 003.1US	10/602,853	06/24/2003	PENDING
GTI 004.0US	60/270,922	02/23/2001	ABANDONED
GTI 004.1US	60/295,037	06/01/2001	ABANDONED
GTI 004.2US	60/348,670	01/14/2002	ABANDONED
GTI 004.3US	10/081,969	02/22/2002	PENDING
GTI 005.0US	60/270,885	02/23/2001	ABANDONED
GTI 005.1US	10/081,961	02/22/2002	PENDING

## ASSIGNMENT


Novartis AG, a corporation organized under the laws of the Swiss Confederation, with a principal business address of Lichtstrasse 35, CH-4056 Basel, Switzerland, for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, does hereby assign to **CELL GENESYS, INC.**, a corporation organized under the laws of the State of Delaware, with a principal business address of 500 Forbes Boulevard, South San Francisco, California 94080, (hereinafter Assignee), its successors, assigns and legal representatives, all its right, title and interest, which includes the right to and full benefit of such priorities as may now or hereafter be granted to it by local laws or by treaty, including any international convention for the protection of industrial property, in and for all countries of the world, including the United States and its territories and possessions, in and to the invention described in the following:

U.S. Patent Application No. 10/081,969, filed February 22, 2002

and in and to all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter, including the right to claim for any such foreign applications and U.S. applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise, and, and in and to, all Letters Patent to be obtained for said subject matter by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(b) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent.

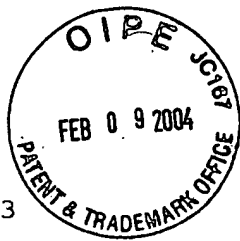
NOVARTIS AG

Dated: October 2, 2003

By   
Arthur Canonica  
Patent and Trademark Administrator

By   
Hans Rudolf Haus  
Patent and Trademark Administrator





FEBRUARY 12, 2003

PTAS

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

NOVARTIS  
THOMAS HOXIE  
CORPORATE INTELLECTUAL PROPERTY  
ONE HEALTH PLAZA, BLDG. 430  
EAST HANOVER, NJ 07936-1080

**\*700023833A\***

**\*700023833A\***

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/06/2003

REEL/FRAME: 013421/0035  
NUMBER OF PAGES: 8

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CONNELLY, SHEILA

DOC DATE: 05/02/2002

ASSIGNOR:

ENNIST, DAVID LEONARD

DOC DATE: 05/09/2002

ASSIGNOR:

FORRY-SCHAUDIES, SUZANNE

DOC DATE: 05/14/2002

ASSIGNOR:

GORZIGLIA, MARIO

DOC DATE: 04/24/2002

ASSIGNOR:

HALLENBECK, PAUL L.

DOC DATE: 05/14/2002

ASSIGNOR:

HAY, CARL M.

DOC DATE: 05/09/2002

ASSIGNOR:

JAKUBCZAK, LEONARD

DOC DATE: 05/03/2002

ASSIGNOR:

KALEKO, MICHAEL

DOC DATE: 05/08/2002

ASSIGNOR:

POLICE SESHIDHAR REDDY

DOC DATE: 05/09/2002

ASSIGNOR:

RYAN, PATRICIA CLARE

DOC DATE: 05/30/2002

ASSIGNOR:

STEWART, DAVID A.

DOC DATE: 05/03/2002

ASSIGNOR:

XIE, YUEFENG

DOC DATE: 07/01/2002

ASSIGNOR:

CLARK, LORI

DOC DATE: 05/03/2002

ASSIGNOR:

PHIPPS, SANDRINA

DOC DATE: 05/03/2002

ASSIGNOR:

CHENG, CHENG

DOC DATE: 07/03/2002

ASSIGNEE:

NOVARTIS AG

LICHTSTRASSE 35

BASEL, SWITZERLAND 4058

SERIAL NUMBER: 10081969

FILING DATE: 02/22/2002

PATENT NUMBER:

ISSUE DATE:

SHARON LATIMER, EXAMINER

ASSIGNMENT DIVISION

OFFICE OF PUBLIC RECORDS

(Rev. 6-93)

OMB No. 0681-0011 (exp. 4/94)

02/06/2003  
700023833  
**PATENTS ONLY**

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

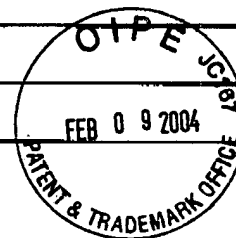
Sheila CONNELLY; David Leonard ENNIST;  
Suzanne FORRY-SCHAUDIES; Mario  
GORZIGLIA; Paul L. HALLENBECK; Carl M.  
HAY; John Leonard JAKUBCZAK; Michael  
KALEKO; Seshidhar Reddy POLICE; Patricia  
Clare RYAN; David A. STEWART; Yuefang XIE;  
Lori CLARK; Sandrina PHIPPS; Cheng CHENG

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: \_\_\_\_\_

Street Address: Lichtstrasse 35City: Basel State: Switzerland ZIP: 4058Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: 5/2/02; 5/9/02; 5/14/02; 4/24/02;  
5/14/02; 5/9/02; 5/3/02; 5/8/02; 5/9/02; 5/30/02;  
5/3/02; 7/1/02; 5/3/02; 5/3/02; 7/3/02

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. U.S. 10/081,969, filed February 22, 2002

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas HoxieInternal Address: NovartisCorporate Intellectual PropertyStreet Address: One Health Plaza, Bldg. 430City: East Hanover State: NJ ZIP: 07936-10806. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40

- ☐ Enclosed  
☒ Authorized to be charged to deposit account and any other additional fees required.

## 8. Deposit account number:

19-0134 (in the name of Novartis Corporation)

(Attach duplicate copy of this page if paying by deposit account)

**DO NOT USE THIS SPACE**

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

J. Timothy Meigs  
Name of Person Signing  
Reg. No. 38,241

Signature

February 6, 2003  
Date

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Name : GENETIC THERAPY, INC.

Job : 448  
Date : FEB-06 16:38  
To : PTO ASSIGNMENT SYSTM  
Doc. pages : 09  
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**GENETIC THERAPY, INC.**  
A Novartis Company

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Gaithersburg, MD 20878

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Fax (301) 258-4620  
Internet: tim.meigs@pharma.novartis.com

**Fax**

Attention Patent and Trademark Assignment System  
Fax no. 703/306-5995  
Number of pages -8-  
Date February 6, 2003  
RE: U.S. Patent Application No. 10/081,969, filed February 22, 2002

Dear Sir/Madam:

Attached is a Recordation Form Cover Sheet and Assignment in connection with the above-identified patent application. Please file this and return a confirmation of receipt. Thank you for your courtesy.

  
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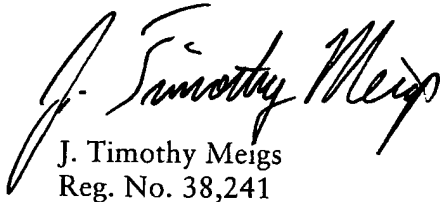
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2. Name and address of receiving party(ies)

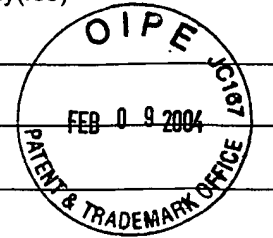
Name: Novartis AG

Internal Address: \_\_\_\_\_

Street Address: Lichtstrasse 35

City: Basel State: Switzerland ZIP: 4058

Additional name(s) & address(es) attached? ☐ Yes ☒ No



3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
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5/14/02; 5/9/02; 5/3/02; 5/8/02; 5/9/02; 5/30/02;  
5/3/02; 7/1/02; 5/3/02; 5/3/02; 7/3/02

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. U.S. 10/081,969, filed February 22, 2002

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas Hoxie

Internal Address: Novartis

Corporate Intellectual Property

Street Address: One Health Plaza, Bldg. 430

City: East Hanover State: NJ ZIP: 07936-1080

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40

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J. Timothy Meigs  
Name of Person Signing  
Reg. No. 38,241

J. Timothy Meigs  
Signature

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